

GRANTEE MONITORING

Grantee Name	Catholic Charities of the Diocese of Winona, Inc
Location/Address	903 W Center St, Ste 220 Rochester, MN 55902
Date and Location of Site Visit	November 3, 2016 at the Rochester office
Grantee Participants	Sarah Vetter, Director of Pregnancy, Parenting and Adoption And Jodi Olson, Logistics Coordinator
MDH Participant(s)	Mary Ottman, Positive Alternatives Grant Manager
Grant Agreement #/PO #	109494

PURPOSE:

In accordance with the MDH Policy 238.01 Grantee Monitoring, MDH will conduct at least one monitoring visit per grant period on all state grants of over \$50,000, and at least annual monitoring visits on grants of over \$250,000.

The purpose of the grant monitoring visit is to review and ensure progress against the grants' goals, to address any problems or issues before the end of the grant period and to build rapport between the state agency and the grantees. This visit may cover topics such as statutory compliance; challenges faced by the grantee, modifications made to the grant program, program outcomes, grantee policies and procedures, grantee governance, and training and technical assistance needs.

The findings or information obtained through this monitoring activity will be used:

- To ascertain how MDH program funds are being utilized
- To provide targeted technical assistance needs
- To improve program implementation performance
- To suggest other training needs
- In future funding decisions

OVERVIEW

1. Is the Grantee's non-profit 501(c) 3 status current?

Yes, the 990 report is available upon request.

2. Does the Grantee have a central file containing the official records for this grant agreement and/or amendment?

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Yes, the Executive Director and Controller at the administrative office of Catholic Charities maintain a file and Director of Pregnancy, Parenting and Adoption at the Rochester regional office who directs the Positive Alternatives Grant maintains a file containing grant documents. It is the policy of Catholic Charities to maintain all grant materials for 7 years.

3. Where is this central file located?

See explanation above.

4. Who is responsible for this central file?

The Executive Director, Controller, and Director of Pregnancy, Parenting and Adoption share the responsibility.

5. Does the central file include

- The grant proposal? The Executive Director (ED) file has the original and the Director of Pregnancy, Parenting and Adoption (DPPA) file has a copy.
- The award letter? Same as above.
- The signed grant agreement and any/all amendments? The Controller and DPPA have all copies.
- Any/all requests and/or approvals for scope/budget changes? The Controller and DPPA have copies.
- The work plan? The DPPA has the work plan and the ED has a copy.
- Any/all payment requests (invoices)? The Controller and DPPA have copies of all invoices.
- Any/all signed subcontracts? Not applicable (no subcontracts)
- Any/all Progress Reports? The DPPA has copies of all progress reports.

REPORTING REQUIREMENTS

1. Does the organization meet all reporting requirements as outlined in the grant agreement and/or amendment?

Yes

2. Are expenditure reports submitted timely and accurately?

Yes

3. Are progress reports submitted with all required information and in a timely manner?

Yes

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CONTRACTUAL

1. Does the Grantee have written policies or procedures addressing use of contractors and/or subcontractors?
[The Grantee adheres to the guidelines in the Positive Alternatives grant agreement.](#)
2. Were any sub-contractors paid from the MDH grant required to sign a contractual agreement outlining services to be rendered, duration of engagement, and pay rate?
[We have a contractual agreement that contains all the above.](#)
3. Was the contractual agreement(s) reviewed and approved by MDH before implementation?
[Yes. The current signed copy of the contract for the evaluation will be sent in soon.](#)

PERSONNEL POLICIES, PROCEDURES AND PRACTICES OF THE GRANTEE

1. Are time distribution records (e.g., time-sheets) maintained to show how employees who are funded through, or contributed in kind to, the MDH grant and who work on multiple projects/programs spend their time?
[Yes, employees track how they spend their time each day.](#)
2. Do personnel and/or payroll records show dates of hire/termination, immigration status if applicable, actual hours of time worked, leave time, federal and state programs worked on, and earning for all employees who are funded through, or contributed in kind, to the MDH grant?
[Yes, all personnel files are kept up to date and payroll records are kept on all MDH granted employees for a total of 6 years after the end of a grant cycle.](#)
3. Does the Grantee have policies and procedures in writing regarding:
 - Payroll? [Yes.](#)
 - Travel? [Yes.](#)
 - Overtime? [Yes.](#)
 - Timesheets? [Yes.](#)
 - Taxes? [No, we do not currently have a written policy for taxes. However, State, Federal, and FICA taxes are paid bi-weekly and the quarterly 941 is processed timely. Catholic Charities is not required to submit the Form 940. Catholic Charities meets its unemployment tax obligations as a reimbursing employer \(per Federal legislation for non-profits\) with Unemployment Services Trust.](#)

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Quarterly unemployment reports are filed timely with the State of Minnesota.

- Purchasing? Yes.
- Compensated time off? Yes.

4. Are employees time sheets approved?

Yes.

By whom (what position)?

All time sheets must be approved by the employee's supervisor. The Director of Pregnancy, Parenting and Adoption approves time sheets for the Licensed Social Workers (PA staff).

By the Executive Director?

The Executive Director approves the time sheets for the Director of Pregnancy, Parenting and Adoption.

5. Does the Grantee's payroll preparation and distribution involve more than one employee?

Yes, the coordinator of Administrative Services collects all timesheets, calculates hours, enters the hours in the accounting software, produces PR direct deposits and handles all other items related to payroll. The Controller reviews the employee names listed on the PR Check Register. Any discrepancies or duplications are discussed with the Coordinator of Administrative Services.

5. Does an authorized official approve all checks before being signed?

Yes.

Additional Comments:

All documents and policies were in place for Catholic Charities Winona.

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PROGRAMMATIC QUESTIONS

Please use this space to answer all questions.

Program History

- When was your program started? Why was it started?

Catholic Charities believes in caring for the gift of life and provides positive alternatives to abortion. We have been providing services to pregnant and parenting women for 73 years. Support and assistance is provided at no cost to help women, men, and their families to choose life for their expected baby and to care for their babies after birth. All of the services are provided in the context of Catholic Social Teaching and support the sanctity of human life from the moment of conception to the moment of natural death.

- What need does your program fulfill?

Often a person may think they only have one alternative to an unplanned pregnancy –abortion- but when they contact us they learn about viable alternatives to abortion. They learn they are not alone and that we will help them every step of the way. Persons faced with an unplanned pregnancy receive the support needed to self determine what will be the best plan their baby. If the birthparent chooses to make an adoption plan for their child, Catholic Charities offers adoptive families who have an approved adoption study and are ready to accept a child into their home. If the birthparent chooses to parent their child, Catholic Charities will provide support and help to make a parenting plan.

- How has the program grown or changed since its beginning?

We have been a recipient of the Positive Alternative grant since 2006. Receiving the first grant transformed Catholic Charities' Pregnancy, Parenting and Adoption Program. The resources brought to the program by the grant changed dramatically the program's level of accessibility, responsiveness and advocacy for the enduring benefit of pregnant and parenting women across southern Minnesota. In our first grant cycle we offered financial assistance to pregnant and parenting women through grant dollars. After the first grant cycle we were able to fund the financial assistance entirely with donations to our Catholic Charities' Mother and Child Assistance Fund. We have a Baby Bottle Campaign and all of the money donated is designated to help pregnant women to carry their baby to term and to help them after birth. We have been able to add monthly parenting classes in three office locations, travel to birthparents to take away barriers for services, and reach many more women through marketing and educational materials. We provide financial literacy education, safe sleep and shaken baby prevention to all clients that we meet with, and have added a college program this year to provide social and financial support to single mothers pursuing a degree in nursing in order to earn a living wage and move out of poverty.

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Grantee's Target population

- Who does the organization primarily serve?
The Pregnancy, Parenting and Adoption program serves women who are pregnant and their babies.
- What is the program's demographic and geographic coverage?
We serve the 20 southernmost counties in Minnesota, including: Wabasha, Winona, Houston, Olmsted, Dodge, Fillmore, Mower, Freeborn, Steele, Waseca, Blue Earth, Faribault, Martin, Cottonwood, Jackson, Murray, Nobles, Rock, Pipestone, and Watonwan.
- Review recent Demographic reporting.
We serve expectant parents and parents of children under 12 months old. Recently about half of our clients are pregnant when we first meet them. The majority of our clients are in their 20's, white and unmarried. We serve rural Minnesota, and the racial makeup of our clients roughly reflects the overall population.

Leadership and Governance

- Effective Board: How many board members currently serve, who are they?
Catholic Charities of the Diocese of Winona has 15 board members. A listing of current board members was sent.
- How often do they meet? How are they informed of organization's progress and challenges? The board meets 5 times per year and is informed of our organization's progress and challenges by annual reports, program summaries from program directors, and presentations from directors.
- How supportive is the Board of the program? The Board is very supportive of the Pregnancy, Parenting and Adoption program and were very happy to know that we received the Positive Alternative Grant this year.
- How is the program staffed? Who is responsible for the supervision of grant staff?
The program is staffed by three licensed social workers, one who serves as the director of the program. The Director supervises two grant staff and the Executive Directors is responsible for the supervision of the program director. Two support staff assist the program, as well as administrative and accounting staff.
 - How are staff evaluated on their performance? How long have PA staff been employed there?
Staff receive an annual performance appraisal using an agency-wide evaluation form. At the annual review, staff set goals for the coming year for their particular

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position and review the progress they have made on past goals. PA staff have been employed for 4, 3, and almost 2 years.

- How are staff background checks done?
All staff must pass a background check before they have direct contact with clients.
- What is your organization's policy on complaints for staff and clients?
We have a grievance procedure for both clients and staff.

Budget

- Does the current budget reflect your work plan activities?
Yes, the expenses in the general ledger support our work plan activities.
- Is the budget accurate for the project size/scope?
Yes.
- Do you have any challenges with the budget or invoicing?
Time constraints are problematic but processing the monthly invoicing is not a challenge.
- Has your Financial Reconciliation taken place?
Catholic Charities' last PA financial reconciliation was for April 2015. A Feb. 10, 2016 letter from Paula Naughton indicated "no issues were identified with the invoice".
- If you have an elevated risk designation, and/ or your Financial Reconciliation report cited any concerns, these will be discussed.
No elevated risk or problems cited in the financial reconciliation were noted.

Review Work Plan including:

Partners

- If applicable: how are people referred to the program? Are there any barriers encountered with referral sources? What is your most common referral source?
Clients are referred to our program from area agencies, county social services, previous clients, and internet searches. Our most common referral sources change depending on the county the client resides in, but we receive many referrals from Hospital Social Workers, pregnancy centers such as Birthright, Public Health Nurses, MN Valley Action Council, St. Vincent De Paul, and women's shelters. With our increased internet advertising, we have seen more referrals from online searches.
- Challenges with partners or specific counties?
None.

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Work Plan

- Review your 2016 – 19 grant application's description of the program you are asking to be funded. On your work plan note the services and activities you said you would provide and the number of clients you would serve.
- **Prepare a short summary of your current program(s) and the number of clients being served.** How does what you describe in the application compare with what you are currently providing? Have any programs and/or activities or services been added or removed? Have the number of clients being served per quarter decreased or increased since June 2016? Is there anything in particular you want to share about your current program to explain its current status?
- Do you anticipate making any changes to the 2017-18 Work Plan? If so, in what way and for what reasons?

Summary: In our grant application, we indicated that services we would provide include: staffing the crisis pregnancy information hotline, providing informed and compassionate case management, making referrals to necessary services and assisting our clients in obtaining those services, providing safe sleep education and parenting education, providing licensed adoption services,

conducting financial literacy training, helping single and expecting mothers secure post-secondary education that leads to employment at a livable wage, and providing financial assistance in regards to housing, utilities, food, and clothing. No programs have been added or removed since our application, although our Onward and Upward program has launched this year to assist single parents in securing secondary education to lead to self-sufficiency and living wage jobs. We provided three visits to a single mother pursuing her education. Our goal is that this program will reach more parents who are pursuing higher education in the coming semester. We are working closely with Rochester Community and Technical college to reach their students who are eligible for our program.

We have recently completed our first quarter of the 2016 grant cycle and were pleased to report serving a larger number of clients than in any previous quarter (97 clients total). In many categories, such as providing financial assistance and pregnancy education, we saw double the number of clients we anticipated serving. In other activities, such as offering parenting education and answering calls to our 24/7 hotline, we served nearly three times the number of clients expected. We have seen a great need for our services and have risen to meet this need whenever possible.

It is too early to say what changes we plan to make to our 2017-2018 Work Plan, although I would anticipate increasing our Work Plan Count. We have changed our Evaluation Plan this year to see how we can better educate our clients on safe sleep practices and financial literacy. The results from our Evaluation Plan may elicit a change to either the education we provide the way in which we educate our clients.

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Participants:

- What type of outreach does the organization put into action? What is working well? What are more the challenging aspects to finding or retaining clients?
We utilize many types of outreach for our program including mailings, hanging posters, Google and Facebook ads, restroom stall ads, face to face visits with partner agencies, presentations to service providers, and booths at community resource fairs. One challenge has been reminding agencies that we serve clients in counties where we may not have a physical office location. We also have seen challenges when other agencies see us as competition for serving the same clients, when we believe our services complement each other.

Data:

- How is program data collected and by whom? Is data collected useful to agency?
Each social worker working in the program is responsible for collecting and reporting data on every client that they have contact with on a quarterly basis while utilizing forms developed both by the agency and by the PAG program. The PAG logistics coordinator then compiles the data for the quarterly reports. The collected data allows our program to see areas of growth and to track trends throughout the years.
- Anything we can do to help or simplify data collection?
An on-line form to input the demographics on each client that could then automatically tally those numbers would be helpful as we could possibly look at having support staff or each social worker enter the information into the system at the time they are working with the client. This would save having to count through dozens of papers at a time in order to complete the demographic reporting form each quarter.
The grant manager discussed the data system entry features of *Way Cool* and *eKyros* with the PA grantee staff as a possible solution for simplifying their data collection entry system.

Review Evaluation

- Your 2015-16 Evaluation Report Summary will be discussed (If you were a past grantee).
No questions were asked of the past report for evaluation.
- Your 2016-17 Evaluation Plan will be reviewed. Any suggestions provided in your 2015-16 Report Summary should be included in the plan, if you are continuing a similar evaluation. If you are

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planning a new evaluation, details will be discussed. Do you have any questions on your evaluation?

The evaluation project for this grant year will be on safe sleep programming and financial literacy.

Miscellaneous

- Anything else you would like to share?
- Anything else we haven't asked?

Not at this time.

What can we do to help?

- Trainings and Grantee meetings useful for grantee? Any topic suggestions?
Trainings have been very informative and helpful. I would like to see a training on adoption! More specifically they would like to have training on the education of staff on thoughtfully presenting adoption as an option along with the misconceptions and the ethical practices of adoption.
- Feedback or suggestions for the state?
This grant has been an integral part of our program for years. We are very grateful to be recipients again to continue reaching women in need of our help!
- Is there any way MDH can assist you to better equip your success in the Positive Alternatives Grant Program?
We appreciate the updates, news articles, and resources that are shared from time to time. We are changing our evaluation project this year to take a look at what we might need to change in our program. We would appreciate feedback regarding our project after its completion to improve our program the following year.

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Summary:

Catholic Charities (CC) of Winona has been a Positive Alternatives (PA) grantee from the beginning of the funding in 2006. Their long time PA staff director has retired and a new appointee has taken her place. Fortunately the transition has been seamless as the new staff member had been PA staff for CC of Winona prior to her appointment working in client services.

CC of Winona offers education and support to women in unplanned and/ or crisis pregnancy situation to a 20 county area in southern and mostly rural Minnesota. More specifically the programs they offer include: staffing a crisis pregnancy hotline, case management, offering help with area referrals, providing pregnancy and parenting education and support, conducting financial literacy training, providing help with secondary education, and providing material assistance in the form of financial support for housing, utilities, food, and clothing.

Client numbers for all PA programs have been increasing and it was agreed that servicing 20 rural counties in southern Minnesota is quite a challenge with PA funding for only 2.1 FTE for all client services. Funding for projects related to the PA program are also funded through annual baby bottle fund raisers in the churches locally.

CC of Winona is hoping to simplify their data collection process for the PA funding reporting which can be demanding with 3 staff visiting 20 counties. Ideas were given to the staff for consideration including *Way Cool* and *eKyros*. Currently their data collection process has been heavy with paper files.

Current revised PA policies were reviewed and questions were addressed.

Outreach for the PA programming was discussed and it appears the grantee is making excellent efforts in publically promoting their program. Keeping up with contacts throughout their 20 county area, however, can be an unending job. Establishing warm referral and contacts throughout this large rural area continues to create challenges especially in counties that do not have a physical office location.

As a PA grantee, CC of Winona has been a responsible and motivated organization. They are grateful for the ability to use the PA funding to expand their work with pregnant women and women with infants. I look forward to working with them throughout the new PA grant cycle.

Date: November 7, 2016

Grant Manager: Mary Ottman